

**UNITED STATES DEPARTMENT OF AGRICULTURE**

Farm Service Agency  
Washington, DC 20250

**Notice PM-2272**

**For:** RMA Kansas City Offices; FSA St. Louis Office, State Offices, and County Office Federal Employees; and FAS Offices (Except Overseas) Under the 5-Tier Rating System

**FY 2001 Annual Performance Appraisals for Offices Under the 5-Tier Rating System**

**Approved by:** Deputy Administrator, Management



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**1 Overview**

**A**

**Purpose**

This notice provides employees and supervisors with information needed to complete the annual performance appraisal for the rating period ending September 30, 2001, and reminds employees and supervisors that:

- performance elements and standards shall be established within 30 calendar days of an employee's assignment to a position
- an employee must serve under elements and standards in the current position for **90 calendar days** or more before supervisors complete the employee's performance appraisal.

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**B**

**Changes in Positions, Assignments, or Supervisors**

New or amended performance elements and standards must be in place within 30 calendar days after an employee has been given a new position or assignment.

When an employee works under different supervisors during the designated appraisal period, each supervisor of 90 calendar days or more shall document the employee's accomplishments and prepare a summary rating. The summary rating should be forwarded to the employee's current supervisor for appropriate consideration in preparing the employee's rating of record.

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<b>Disposal Date</b>	<b>Distribution</b>
March 1, 2002	All RMA Kansas City Offices; FSA St. Louis Office, State Offices, and County Office Federal employees; and FAS Offices, except Overseas Offices, under the 5-tier rating system

## 1 Overview (Continued)

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### C

#### **FFAS Performance Management System**

The FFAS Performance Management System applies to all of the following:

- FAS employees, except Foreign Service
  - FSA employees
  - RMA employees.
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### D

#### **Labor Relations Obligations**

Where exclusive representation exists, this notice does not apply until bargaining takes place. Where contract language addresses these policies and procedures for bargaining unit employees, contract language prevails.

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## 2 Supervisor Action

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### A

#### **Obtaining and Completing AD-435 and AD-435A and B**

Supervisors shall:

- use WordPerfect versions of AD-435 and AD435A and B
  - except for item 2, complete AD-435 according to the instructions on the form
  - enter Agency, program, and division or office, in AD-435, item 9
  - sign and print name in each signature block on the applicable AD-435
  - complete and distribute AD-435 and AD-435A and B by **October 31, 2001** (FSA/RMA) and by **October 26, 2001** (FAS).
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### B

#### **Reviewing Performance**

Supervisors shall review employee performance by:

- ensuring that the employee has served under elements and standards in their current position for 90 calendar days or more
  - comparing the employee's performance of each with the standards established on AD-435A and B
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## 2 Supervisor Action (Continued)

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### B

#### Reviewing Performance (Continued)

- if necessary, obtaining written documentation of the employee's performance under a previous position if:
    - the employee is on detail for 120 calendar days or more
    - a change in supervisor occurs and the employee works under a new position for 90 calendar days or more
    - the employee changes positions and serves in the new position for 90 calendar days or more
    - the employee transfers outside FAS, FSA, or RMA
- Note:** The former supervisor should provide a copy of AD-435 to the employee's new supervisor.
- the employee performs collateral duties, then the rating shall reflect both of the following:
    - primary duties of the position
    - primary collateral duty
  - checking the appropriate rating level for each element on AD-435A and B.
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### C

#### Accountability for AD-435

Supervisors shall ensure that AD-435:

- contains all elements, as reflected on AD-435A and B
- designates critical and noncritical elements
- includes weights that are properly assigned; that is, 2 points for critical and 1 point for noncritical

**Note:** EEO/CR element or elements incorporating EEO/CR standard must be a **critical** element weighted as 2.

- totals are added correctly in items 15 E through 15 H
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## 2 Supervisor Approval (Continued)

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### C

#### Accountability for AD-435 (Continued)

- summary rating is properly designated using decision table in item 16 B
  - item 17 is checked
  - contains the required signatures and dates
  - **includes initials near any corrections and changes.**
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### D

#### Providing Additional Documentation

Supervisors shall provide additional documentation by doing either of the following:

- completing AD-435A and B, item 10, “Accomplishments”
  - attaching a separating accomplishment statement for each element rated, “Does Not Meet Fully Successful”.
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### E

#### Completing AD-435

Supervisor shall complete AD-435 according to this table.

Step	Action
1	Transfer the performance elements and appropriate rating level information from AD-435A and B.
2	Obtain the reviewing official’s approval on AD-435.
3	Discuss the approved rating and basis for the rating with the employee.
4	Forward AD-435 and AD435A and B to HRD, KCAO, or State Offices according to paragraph 4.

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### 3 Reviewer and Employee Action

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#### A

##### Reviewer Action

Reviewers shall:

- discuss the performance and rating of employees with supervisors
  - change the ratings, if appropriate
  - sign AD-435 certifying approval of original or revised ratings
  - return AD-435 to the supervisor for distribution according to paragraph 4.
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#### B

##### Employee Action

Employees shall:

- sign AD-435 certifying receipt of the rating

**Note:** If the employee refuses to sign the rating, the supervisor shall:

- indicate the refusal on AD-435, item 18
  - forward AD-435 to the appropriate servicing personnel office according to paragraph 4.
  - complete AD-435, item 17 about USDA regulations on employee's responsibilities and conduct.
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#### 4 Distributing AD-435 and AD-435A and B

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##### A

##### Distribution

Supervisors shall distribute the completed performance appraisals according to this table.

Step	Action
1	<p>Forward the original, completed copies of AD-435 and AD-435A and B to either of the following servicing personnel offices <b>by October 26 (FAS) or October 31, 2001 (FSA/RMA):</b></p> <ul style="list-style-type: none"> <li>• HRD, Performance Management, Benefits, and Awards Branch, STOP 0595</li> <li>• KCAO, Personnel Division (PD).</li> </ul> <p><b>Exception:</b> State Offices shall maintain the original, completed copies.</p>
2	<p>Provide the employee with:</p> <ul style="list-style-type: none"> <li>• 1 copy of AD-435</li> <li>• 1 copy of AD-435A and B.</li> </ul>
3	<p>Retain the following for the supervisor's file:</p> <ul style="list-style-type: none"> <li>• 1 copy of AD-435</li> <li>• 1 copy of AD-435A and B.</li> </ul>

#### 5 Unratable Employees

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##### A

##### Rating

##### Requirements

To be rated, an employee **must** have:

- elements and standards established on AD-435A and B
- been under signed elements and standards for at least **90 calendar days.**

**Note:** If the employee disagrees with elements and standards and refuses to sign them, the supervisor should note this in the employee's signature block on AD-435A.

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## 6 Additional Information

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### A

#### Contacts

If there are questions about rating employees, supervisors may contact the appropriate servicing personnel office according to this table.

IF the supervisor is located in...	THEN contact...
<ul style="list-style-type: none"> <li>FAS</li> <li>RMA</li> </ul>	Performance Management, Benefits, and Awards Branch, HRD at 202-418-8973 or TTY 202-418-9116.
1 of the following: <ul style="list-style-type: none"> <li>APFO</li> <li>KCCO</li> <li>KCAO</li> <li>KCFO</li> <li>KC-ITSTO</li> <li>KC-ITSDO</li> <li>State Offices</li> </ul>	KCAO, PD, Employee and Labor Relations Branch at 816-926-6643 or TTY 816-926-3063.
County Office	State Office.

### B

#### Filing Grievances

Nonbargaining unit employees must grieve their performance appraisals under the Agency grievance procedure. Bargaining unit employees must use the negotiated grievance procedure.

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